

12-17-01

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## CERTIFICATE OF MAILING

I hereby certify that on November 30, 2001 this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, DC 20231.

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*Patricia Meade*  
 PATRICIA MEADE

## PATENT

Applicant: Bin Zhao  
 Title: TEMPERATURE  
 COMPENSATING  
 REFLECTIVE RESONATOR  
 Atty Docket No.: 12569-07/NEC

J1050 U.S. PRO 10/16801  
 11/30/01

## UTILITY PATENT APPLICATION TRANSMITTAL

Post Office Box 7680  
 Assistant Commissioner for Patents  
 Washington, D.C. 20231

Newport Beach, CA 92660-6441  
 November 30, 2001

1  FEE TRANSMITTAL FORM (Submit an original, and a duplicate for fee processing).

2  Applicant claims small entity status under 37 CFR §1.27.

## 3 IF A CONTINUING APPLICATION

This application is a [divisional/cont. or continuation-in-part] of patent application No. \_\_\_\_\_.  
 A copy of this form is enclosed for filing in the prior application.

4  This application claims priority pursuant to 35 U.S.C. §119(e) and 37 CFR §1.78(a)(4), to provisional Application No. 60/254,388 filed December 8, 2000.

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under item 4c below, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 4. APPLICATION COMPRISED OF

(a) Specification

27 Specification, claims and Abstract (total pages)

(b) Drawings

4 Sheets of drawing(s) (FIGS. 1 to 5)

(c) Declaration and Power of Attorney

X Newly executed

— Copy from a prior application (37 CFR 1.63(d))  
 (for continuation and divisional)

— An **unsigned** declaration

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**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Only for new nonprovisional applications under 37 CFR 1.53(b))**

Docket No.: 12569-07

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**5. Microfiche Computer Program (Appendix)**

**6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)**

- Computer Readable Copy
- Paper Copy (identical to computer copy)
- Statement verifying identity of above copies

**7. ALSO ENCLOSED ARE**

- Preliminary Amendment
- Petition for Extension of Time for the parent application and the required fee are enclosed as separate papers
- An Assignment of the invention with the Recordation Cover Sheet and the recordation fee are enclosed as separate papers
- 37 CFR 3.73(b) Statement (where there is an Assignee)
- This application is owned by pursuant to an Assignment recorded at Reel   , Frame
- Information Disclosure Statement (IDS)/PTO-1449
  - Copies of IDS Citations
  - Certified copy of Priority Document(s) (*if foreign priority is claimed*)
  - English Translation Document (*if applicable*)
- X Return Receipt Postcard (MPEP 503) (should be specifically itemized).
- Request and Certification under 35 U.S.C. 122(b)(2)(B)(i) form PTO/SB/35 or its equivalent is attached.
- Other

X The Commissioner is hereby authorized to treat any concurrent or future reply, requiring a petition for an extension of time under 37 CFR § 1.136 for its timely submission, as incorporating a petition for extension of time for the appropriate length of time.

**8. CORRESPONDENCE ADDRESS**

Please address all correspondence to **STRADLING YOCCA CARLSON & RAUTH, IP Department,**

**P.O. Box 7680, 660 Newport Center Drive, Suite 1600, Newport Beach, California 92660-6441.**

Respectfully submitted,

STRADLING YOCCA CARLSON & RAUTH

By

  
Norman E. Carte  
Reg. No. 30,455  
(949) 737-4703

**FEE TRANSMITTAL  
UTILITY PATENT APPLICATION**

**DATE:** November 30, 2001

Docket No. : 12569-0007/NEC  
 Inventor(s) : Bin Zhao  
 Title : TEMPERATURE COMPENSATING REFLECTIVE RESONATOR

**FEE CALCULATIONS**

CLAIMS		NUMBER FILED	NUMBER EXTRA	RATE	CALCULATIONS
A	TOTAL CLAIMS	18 - 20 = <2>	0	0 x \$9.00	\$0.00
B	INDEPENDENT CLAIMS	7 - 3 = <4>	0	4 x \$42.00	\$168.00
C	SUBTOTAL		SMALL ENTITY FEE = LARGE ENTITY FEE =	A + B 2 X (A + B)	\$168.00
D	BASIC FEE		SMALL ENTITY FEE = LARGE ENTITY FEE =	\$370.00 \$740.00	\$370.00
E	MULTIPLE-DEPENDENT CLAIMS FEE		SMALL ENTITY FEE = LARGE ENTITY FEE =	\$140.00 \$280.00	
	TOTAL FILING FEE (ADD LINES C, D, AND E)				\$538.00

List Independent Claims: 1, 4, 5, 6, 7, 17 and 18

**METHOD OF PAYMENT**

Payment Enclosed: Check for \$538.00

The Commissioner is hereby authorized to charge any fees under 37 CFR 1.16 and 1.17 which may be required during the **entire pendency** of the application to Deposit Account No. 501329. Please show our docket number with any charge or credit to our Deposit Account. **A copy of this letter is enclosed.**

No payment is enclosed.

The Commissioner is hereby authorized to treat any concurrent or future reply, requiring a petition for an extension of time under 37 CFR § 1.136 for its timely submission, as incorporating a petition for extension of time for the appropriate length of time.

Respectfully submitted,

STRADLING YOCCA CARLSON & RAUTH

By

  
 Norman E. Carte  
 Reg. No. 30,455